Atty. Dkt. No. 068550.0

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Hollerman et al.

Title:

SYSTEM AND METHOD FOR **DISPLAYING OPTION MARKET**

INFORMATION

Appl. No.:

09/912,709

Filing Date: 25 July 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Susan T. Golab

(Printed Name)

7 August 2001

(Date of Deposit)

INFORMATION DISCLOSURE STATEMENT **UNDER 37 CFR §1.56**

Commissioner for Patents Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

RELEVANCE OF EACH DOCUMENT

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 06-1450. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 06-1450.

Respectfully submitted,

One IBM Plaza

330 North Wabash Avenue

Suite 3300

Chicago, Illinois 60611-3608

Telephone: (312) 755-2610

Facsimile: (312) 755-1925

Paul E. Schaafsma

Attorney for Applicant

Registration No. 32,664



CERTIFICATE OF MAILING UNDER 37 CFR 1.8

7 August 2001 Date of Deposit

I hereby certify that an Information Disclosure Statement (2 pages); Form 1449 (3 pages); and a return postcard are being deposited with the United States Postal Service with sufficient postage as First Class Mail service under 37 CFR 1.8 on the date indicated above, addressed to: Commissioner for Patents, Washington, D.C. 20231.

Susan T. Golab

(Typed or Printed name of Person Mailing Statement)

(Signature of Person Mailing Statement)

Docket No. 068550/0105

<u>Page 1 of 3</u>

	m PTO-1449 U.S. DEPARTMENT OF COMMERCE		=	ATTY. DOCKET NO.		SERIAL NO.			
(MODIFIED)		PATENT AND TRADEMARK OFFICE		:	068550-0105		09/912,709		
OIPE				ſ	APPLICANT				
INFO	INFORMATION DISCLOSURE CITATION					Hollerman	et al.	-	
AUG 0 9 2001	4				FILING DATE		GROUP AR	T UNIT	
·	Use several sheets if necessary)				25 July 2001				
TRADEMASKS	7		U.S. PATE	EN ⁻	T DOCUMENTS				
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE		NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE	
		6,173,270	01/09/01 C	rist	ofich et al	705	37	09/2	3/97
		6,105,005	08/15/00 F	uhr	er	705	35	12/1	8/97
		6,088,685	07/11/00 K	iror	et al.	705	36	08/2	7/98
		5,671,363	09/23/97 C	Cristofich et al		395	237	06/07/95	
	5,557,517 09/17/96 Dau		aug	hterty, III	364	408	07/29/94		
		5,517,406	05/14/96 H	arri	s et al.	364	408	09/0	1/94
		5,305,200	04/19/94 H	arth	neimer et al	364	408	11/0	2/90
<u></u>			FOREIGN PA	ΔTE	ENT DOCUMENTS			L	
		DOCUMENT DATE				. [.	SUB-	TRANSLATION	
	REF	NUMBER	DATE		COUNTRY	CLASS	CLASS	YES	NO
		WO 01/22315	03/29/01			A2		Х	
	(
		OTHER DOCU	MENTS (Including	, Δ,	uthor, Title, Date, Pe	ertinent Pages	Etc.)		
			<u> </u>		4				
//			rview, Pulse.cboe.c						
			<u> </u>		Option Symbol KODO	·			
					f-the Money Stock Op		sResearch.co	om (1 pag	e). —
					naeffersResearch.com	ı (1 page).			
		Options Basics – What are Options, investopedia.com (1page).							
		At the Money, bay-street.investopedia.com (1 page).							
		Long Term Equity Anticipation Securities – LEAPS, bay-store.investopedia.com (1 page).							
		Defining Stock Options, SchaeffersResearch.com (1 page).							
		National Best Bid and Offer – NBBO, bay-street.investopedia.com (1 page).							
	American Stock Exchange – AMEX, bay-street.investopedia.com (1 page).								
EXAMINER	·				DATE CONSIDE	RED			
* EXA	MINER:	Initial if citation	considered, whe	the	er or not citation is	s in conforma	nce with M	IPEP 609	: Draw

Page 2 of 3

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SERIAL NO. 09/912,709 (MODIFIED) PATENT AND TRADEMARK OFFICE 068550-0105 APPLICANT INFORMATION DISCLOSURE CITATION Hollerman et al. AUG 0 9 2001 **GROUP ART UNIT** FILING DATE Use several sheets if necessary) 25 July 2001

U.S. PATENT DOCUMENTS		E 200 00			20 00.3			
EXAMINER INITIAL REF DOCUMENT NUMBER DATE NAME CLASS SUB-CLASS FILING DATE IF APPROPRIATE 5,214,579 05/25/93 Wolfberg et al 364 408 12/22/89 5,206,803 04/27/93 Vitagliano et al. 364 408 03/15/91 5,193,056 03/09/93 Boes 364 408 03/11/91 5,189,608 02/23/93 Lyons et al. 364 408 02/15/90 5,132,899 07/21/92 Fox 364 408 10/16/89 5,121,495 06/09/92 Nemes 395 600 10/31/89 4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 01/12/88 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408	TRADE MA	<u>′</u>		U.S. P.	ATENT DOCUMENTS	<u> </u>	<u> </u>	
5,206,803 04/27/93 Vitagliano et al. 364 408 03/15/91 5,193,056 03/09/93 Boes 364 408 03/11/91 5,189,608 02/23/93 Lyons et al. 364 408 02/15/90 5,132,899 07/21/92 Fox 364 408 10/16/89 5,121,495 06/09/92 Nemes 395 600 10/31/89 4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84	EXAMINER		DOCUMENT		NAME	CLASS		lF IF
5,193,056 03/09/93 Boes 364 408 03/11/91 5,189,608 02/23/93 Lyons et al. 364 408 02/15/90 5,132,899 07/21/92 Fox 364 408 10/16/89 5,121,495 06/09/92 Nemes 395 600 10/31/89 4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			5,214,579	05/25/93	Wolfberg et al	364	408	12/22/89
5,189,608 02/23/93 Lyons et al. 364 408 02/15/90 5,132,899 07/21/92 Fox 364 408 10/16/89 5,121,495 06/09/92 Nemes 395 600 10/31/89 4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			5,206,803	04/27/93	Vitagliano et al.	364	408	03/15/91
5,132,899 07/21/92 Fox 364 408 10/16/89 5,121,495 06/09/92 Nemes 395 600 10/31/89 4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			5,193,056	03/09/93	Boes	364	408	03/11/91
5,121,495 06/09/92 Nemes 395 600 10/31/89 4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			5,189,608	02/23/93	Lyons et al.	364	408	02/15/90
4,953,085 08/28/90 Atkins 364 408 04/15/87 4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			5,132,899	07/21/92	Fox	364	408	10/16/89
4,914,587 04/03/90 Clouse 364 408 08/07/87 4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			5,121,495	06/09/92	Nemes	395	600	10/31/89
4,876,648 10/24/89 Lloyd 364 408 01/12/88 4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			4,953,085	08/28/90	Atkins	364	408	04/15/87
4,674,044 06/16/87 Kalmus et al. 364 408 01/30/85 4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			4,914,587	04/03/90	Clouse	364	408	08/07/87
4,642,768 02/10/87 Roberts 364 408 03/08/84 4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			4,876,648	10/24/89	Lloyd	364	408	01/12/88
4,615,001 09/30/86 Hudgins, Jr. 364 200 03/29/84			4,674,044	06/16/87	Kalmus et al.	364	408	01/30/85
			4,642,768	02/10/87	Roberts	364	408	03/08/84
4,597,046 06/24/86 Musmanno et al. 364 408 09/30/82			4,615,001	09/30/86	Hudgins, Jr.	364	200	03/29/84
			4,597,046	06/24/86	Musmanno et al.	364	408	09/30/82
				-				
				<u>.</u>				
			-					
			-					
		-						
	-							
		†						

Page 3 of 3

Form PTO-1449	U.S. DEPARTMENT OF COMMERCE	ATTY. DOCKET NO.	SERIAL NO.			
(MODIFIED)	PATENT AND TRADEMARK OFFICE	068550-0105	09/912,709			
		APPLICANT				
O TP INFORM	ATION DISCLOSURE CITATION	Hollerman et al.				
Otak.		FILING DATE	GROUP ART UNIT			
AUG 0 9 2001 \$ S	se several sheets if necessary)	25 July 2001				
	OTHER DOCUMENTS (Including A	author, Title, Date, Pertinent Pages,	Etc.)			
TRADIM	Toronto Stock Exchange – TSE, bay-stre	et.investopedia.com (1 page).				
	Put, bay-street.investopedia.com (1 page	o).				
	Market Indices – What is an Index, invest	topedia.com (1 page).				
	Index Shares - Broad-Based Shares, Am	erican Stock Exchange, amex.com (9 pages).				
	Holdrs sm , American Stock Exchange, an	nex.com (7 pages).	c.com (7 pages).			
	Frequently Asked Questions on Exchang	e Traded Fund (ETF) Products, amex.	e Traded Fund (ETF) Products, amex.com (3 pages).			
	Nasdaq-100 Index Tracking Stock (Symb	ool: QQQ), nasdaq.com (3 pages).				
	The NASDAQ Composite Index, Market I		e).			
	Index Basics, What about Index Funds, investopedia.com (1 page).					
		·				
	1					
			····			
		- in the second				
						